

**CONFIDENTIAL****FINANCIAL AND BIOGRAPHICAL REPORT**

Last Name	First Name	Middle Name	
Address			
City	County	State	Zip

TO THE

DEPARTMENT OF FINANCIAL INSTITUTIONS  
402 WEST WASHINGTON STREET, ROOM W-066  
INDIANAPOLIS, INDIANA 46204

**PROPOSED INSTITUTION**

Name			
Address			
City	County	State	Zip

**GENERAL INSTRUCTIONS**

Type or print this report. All questions must be answered in full. If the space provided on this form is inadequate, additional sheets may be attached. Information on separate sheets must reference the questions on these forms. Amounts may be rounded to the nearest \$1,000. An incomplete report may be rejected.

If the proposed institution will be controlled by a Holding Company, provide the following information:

**HOLDING COMPANY**

Name			
Address			
City	County	State	Zip

Position and responsibilities to be held at the proposed institution:


## FINANCIAL REPORT SECTION

### SECTION I

I, \_\_\_\_\_, \_\_\_\_\_  
Name Address  
\_\_\_\_\_  
City State Zip

submit the following information and a correct and complete statement of financial condition as of \_\_\_\_\_, to the Department of Financial Institutions for its confidential use, in connection with \_\_\_\_\_.  
(Reason For Submitting Report)

I certify that I have read the contents of the financial statement and of the statements in all schedules and affirm that the same is a true and correct statement of my financial condition, as of the above date and said information and state of financial condition are submitted voluntarily by me to the Department of Financial Institutions for its confidential use and subject to IC 28-1-2-30.

\_\_\_\_\_  
Signature Date Signed

## FINANCIAL STATEMENT

<b>ASSETS</b>	<b>LIABILITIES</b>
1. Cash _____	10. Accounts payable _____
2. Notes, loans, and accounts receivable considered collectible _____	11. Notes payable to banks from Schedule E _____
3. Furniture & Fixtures _____	12. Notes payable to others from Schedule F _____
4. Equipment _____	13. Real estate mortgages from Schedule G _____
5. Real estate from Schedule A _____	14. Interest and taxes due unpaid from Schedule H _____
6. Marketable securities from Schedule B _____	15. Other debts and liabilities from Schedule I _____
7. Life Insurance (face amount \$_____ ) cash value _____	
8. Other assets from Schedule C _____	
9. Business interests and partnerships from Schedule D _____	
<b>TOTAL ASSETS</b> _____	<b>TOTAL LIABILITIES</b> _____
	<b>NET WORTH</b> _____

Notes, accounts receivable, mortgages, and other assets considered doubtful, which were not included in the above financial statement have an estimated value of \$\_\_\_\_\_.

## CONTINGENT LIABILITIES

In addition to the debts and liabilities listed, I have endorsed, guaranteed, or am otherwise indirectly or contingently liable for the debts of others as follows:

Name and address of Obligor: \_\_\_\_\_

Name

Address

City

State

Zip

Name and address of Obligee: \_\_\_\_\_

Name

Address

City

State

Zip

Description of Collateral

Value of Collateral

\_\_\_\_\_

\$ \_\_\_\_\_

Date Incurred

Date Due

\$ \_\_\_\_\_

Amount Due

## STATEMENT OF INCOME

	Year _____	Year _____	Year _____	Current Year _____
Salaries, wages and commissions from Employment				
Income from dividends and interest				
Net income from rents, royalties, and Investments				
Other income				
<b>TOTAL INCOME</b>				
EXPENSES (Debt reduction and personal)				
<b>NET INCOME</b>				

Have you ever declared bankruptcy, been involved in a receivership or assignment for the benefit of creditors, or had to work out a compromise with you creditors?

☐

Yes

☐

No

If so, set forth details in the following schedule:

TITLE AND NATURE OF PROCEEDING	DATE	NAME AND ADDRESS OF COURT	DISPOSITION

#### SCHEDULE A - REAL ESTATE OWNED

DESCRIPTION AND LOCATION	NAME ON TITLE	DATE ACQUIRED	COST	INSURNACE	CURRENT VALUE
Carried forward to item 5, Page 3					TOTAL

#### SCHEDULE B - MARKETABLE SECURITIES

DESCRIPTION	AMOUNT	DESCRIPTION	AMOUNT
Carried forward to item 6, Page 3			TOTAL

**SCHEDULE C - OTHER ASSETS**

Carried forward to item 8, Page 3	<b>TOTAL</b>

**SCHEDULE D - BUSINESS INTERESTS**

List all firms, companies, corporations, or other business organizations of which you have an ownership interest in.

NAME AND LOCATION	TYPE OF BUSINESS	POSITION HELD	% OF OWNERSHIP	MARKET VALUE
Carried forward to item 9, Page 3	<b>TOTAL</b>			

**SCHEDULE E - NOTES PAYABLE TO FINANCIAL INSTITUTIONS**

NAME OF LENDER	DATE	INTEREST RATE	AMOUNT	SECURITY	REPAYMENT TERMS
Carried forward to item 11, Page 3	<b>TOTAL</b>				

**SCHEDULE F - NOTES PAYABLE TO OTHERS**

NAME OF LENDER	DATE	INTEREST RATE	AMOUNT	SECURITY	REPAYMENT TERMS
Carried forward to item 12, Page 3				<b>TOTAL</b>	

**SCHEDULE G - REAL ESTATE MORTGAGES PAYABLE**

NAME OF LENDER	DATE	INTEREST RATE	AMOUNT	SECURITY	REPAYMENT TERMS
Carried forward to item 13, Page 3				<b>TOTAL</b>	

**SCHEDULE H - INTEREST AND TAXES DUE**

DUE TO	WHEN DUE	AMOUNT
Carried forward to item 14, page 3		<b>TOTAL</b>

**SCHEDULE I - OTHER DEBTS AND LIABILITIES**

Carried forward to item 15, Page 3	<b>TOTAL</b>

**BIOGRAPHICAL INFORMATION**

## Section II

Date of Birth \_\_\_\_\_

Place of Birth \_\_\_\_\_  
City County State

Citizenship \_\_\_\_\_  
Country

Residence Address \_\_\_\_\_  
Street Address City  
County State Zip

Length of Residence in Community \_\_\_\_\_

Marital Status \_\_\_\_\_ Spouse's Name \_\_\_\_\_

Social Security Number or Internal Revenue Identification Number \_\_\_\_\_

Trade names or other names used \_\_\_\_\_

Civic, professional, social, or other organizations in which you have membership \_\_\_\_\_

Education \_\_\_\_\_

Give details of all pending civil litigations of any nature in which you are involved either as a plaintiff or defendant.

TITLE AND NATURE OF PROCEEDING	DATE	NAME AND ADDRESS OF COURT WHERE PENDING	DOLLAR AMOUNT

Have you ever been convicted of or pleaded nolo contendere to any criminal offense involving dishonesty or breach of trust?

☐

Yes

☐

No

If so, please explain:

\_\_\_\_\_  
 \_\_\_\_\_



## EMPLOYMENT HISTORY

DATE FROM                      TO		NAME, LOCATION, AND TYPE OF BUSINESS	POSITION HELD AND NATURE OF DUTIES

## BUSINESS AFFILIATIONS

List all firms, companies, corporations, or other business organizations of which you are at present a director, officer, employee, partner, or owner.

NAME AND LOCATION	TYPE OF BUSINESS	POSITION HELD

Stock of this institution owned or subscribed for will be:

Number of shares \_\_\_\_\_ Par Value \$ \_\_\_\_\_ Total Cost \$ \_\_\_\_\_

Method of payment \_\_\_\_\_

If a loan is to me made to purchase this stock, give details:

NAME OF LENDER	DATE	INTEREST RATE	AMOUNT	SECURITY	REPAYMENT TERMS